

Substitute Form PTO-1449

U.S. Department of Commerce  
Patent and Trademark Office

Attorney's Docket No.

12900-001001

Application No.

09/845,178

(Modified)

**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

(37 CFR 1.98(b))

Applicant

Zhonghua Lu et al.

Filing Date

April 27, 2001

Group Art Unit

Unknown

RECEIVED

SEP 11 2001

TC 1700

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
MZ	AA	4,567,031	01/28/86	Riley			
MZ	AB	5,393,622	02/28/95	Nitta et al.			
MZ	AC	5,900,385	05/04/99	Dahn et al.			

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
MZ	AD	0 468 942 B2	12/01/99	EPO				
MZ	AE	8-171935	07/02/96	Japan				
MZ	AF	2000-223157	08/11/00	Japan				
MZ	AG	WO 00/23380	04/27/00	PCT				

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
MZ	AH	Armstrong and Bruce, "Synthesis of layered $\text{LiMnO}_2$ as an electrode for rechargeable lithium batteries," <u>Nature</u> , 1996, 381:499-500
MZ	AI	Dahn et al., "Structure and Electrochemistry of $\text{Li}_2\text{Cr}_x\text{Mn}_{2-x}\text{O}_4$ for $1.0 \leq x \leq 1.5$ ," <u>J. Electrochem. Soc.</u> , 1998, 145(3):851-859
MZ	AJ	Delmas et al., "Soft chemistry in $\text{A}_x\text{MO}_2$ sheet oxides," <u>Revue de Chimie Minérale</u> , 1982, 19:343-351
MZ	AK	DeSilvestro, "Pacific Lithium Limited - Novel layered cathode materials for advanced lithium ion batteries," presented at May 2000 International Li Battery Conference, Como, Italy
MZ	AL	Hill and Howard, "Peak Shape Variation in Fixed-Wavelength Neutron Powder Diffraction and its Effect on Structural Parameters Obtained by Rietveld Analysis," <u>J. Appl. Cryst.</u> , 1985, 18:173-180
MZ	AM	Naruoka et al., "Development of $\text{Li}_{1-x}\text{Co}_x\text{Mn}_y\text{O}_2$ System Positive Active Material for Lithium Ion Cells," <u>GS News Technical Report</u> , 2000, 59(2):13-17 (Translation attached)
MZ	AN	Neudecker et al., "Lithium Manganese Nickel Oxides $\text{Li}_x(\text{Mn}_y\text{Ni}_{1-y})_{2-x}\text{O}_2$ ," <u>J. Electrochem. Soc.</u> , 1998, 145(12):4160-4168
MZ	AO	Paulsen and Dahn, "O2 Structure $\text{Li}_{2/3}[\text{Ni}_{1/3}\text{Mn}_{2/3}]\text{O}_2$ : A New Layered Cathode Material for Rechargeable Lithium Batteries," <u>J. Electrochem. Soc.</u> , 2000, 147(3):861-868
MZ	AP	Rossen et al., "Structure and electrochemistry of $\text{Li}_x\text{Mn}_y\text{Ni}_{1-y}\text{O}_2$ ," <u>Solid State Ionics</u> , 1992, 57:311-318
MZ	AQ	Wiles and Young, "A new computer program for Rietveld analysis of X-ray powder diffraction patterns," <u>J. Appl. Cryst.</u> , 1981, 14:149-151

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Filing Date

April 27, 2001

First Named Inventor

Lu, Zhonghua

Art Unit

1745

Examiner Name

Unknown

Attorney Case Number

56373US002

(Use as many sheets as necessary)

Page 1 of 1

## U.S. Patent Documents

Exam. Init.*	Cite No.	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)			
MZ	A1	US- 5,783,332	07/21/98	Amine et al.	
MZ	A2	US- 5,858,324	01/12/99	Dahn et al.	
MZ	A3	US- 6,030,726	02/29/00	Takeuchi et al.	
MZ	A4	US- 6,168,887	01/02/01	Dahn et al.	
	A5	US-			
	A6	US-			
	A7	US-			
	A8	US-			
	A9	US-			
	A10	US-			
	A11	US-			

## Foreign Patent Documents

Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-KindCode (If known)				
MZ	B1	PCT	WO 97/26683	07/24/97			
MZ	B2	EP	0 813 256	12/17/97			
MZ	B3	EP	0 944 125	09/22/99			
	B4						
	B5						
	B6						
	B7						

## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	G1	
	C2	

COPY OF PAPERS  
ORIGINALLY FILED

RECEIVED  
AUG 15 2002  
TC 1100

\*Examiner:

M. Z. F. L.

Date Considered:

8/25/03

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Page 1 of 1

Applicati n Number

09/845178

Filing Date

April 27, 2001

First Named Inventor

Lu, Zh nghua

Art Unit

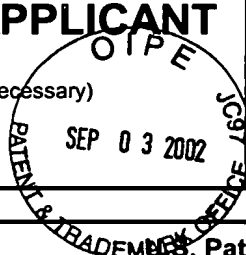
1745

Examiner Name

Unknown

Attorney Case Number

56373US002



## Patent Documents

Exam. Init.*	Cite No.	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)			
	A1	US-			
	A2	US-			
	A3	US-			
	A4	US-			
	A5	US-			
	A6	US-			
	A7	US-			
	A8	US-			
	A9	US-			
	A10	US-			
	A11	US-			

RECEIVED  
SEP 14 2002  
TC 1700 MAIL ROOM

## Foreign Patent Documents

Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-KindCode (if known)				
M2	B1	JP	2002/042813	02/08/02			X
M2	B2	EP	1 189 296 A2	03/20/02			
M2	B3	PCT	WO 02/40404 A1	05/23/02			X
M2	B4	JP	2000/223122	08/11/00			X
M2	B5	JP	11-354156	12/24/99			X
	B6						
	B7						

## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	C1	
	C2	

\*Examiner:

M. Z. B.

Date C nsidered:

8/25/03

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.